

JC574  
01/15/98  
U.S. PTO

Please type a plus sign (+) inside this box →

101-790.00  
2-82.00 (1)  
3-44.00 (2)

A  
PTO/SB/05 (12/97)

Approved for use through 09/30/00. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

## UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	93-C-032C3	Total Pages	25
First Named Inventor or Application Identifier			
Alex Kalnitsky			
Express Mail Label No.	EM044795993US		

### APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1.  Fee Transmittal Form  
*(Submit an original, and a duplicate for fee processing)*
2.  Specification [Total Pages 20]
  - Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to Microfiche Appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (*if filed*)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
3.  Drawing(s) (35 USC 113) [Total Sheets 4]
4. Oath or Declaration [Total Pages 4]
  - a.  Newly executed (original or copy)
  - b.  Copy from a prior application (37 CFR 1.63(d))  
*(for continuation/divisional with Box 17 completed)*  
*[Note Box 5 below]*
    - i.  DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
5.  Incorporation By Reference (*useable if Box 4b is checked*)  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

6.  Microfiche Computer Program (*Appendix*)
7. Nucleotide and/or Amino Acid Sequence Submission  
*(if applicable, all necessary)*
  - a.  Computer Readable Copy
  - b.  Paper Copy (identical to computer copy)
  - c.  Statement verifying identity of above copies

### ACCOMPANYING APPLICATION PARTS

8.  Assignment Papers (cover sheet & document(s))
9.  37 CFR 3.73(b) Statement  Power of Attorney  
*(when there is an assignee)*
10.  English Translation Document (*if applicable*)
11.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations
12.  Preliminary Amendment
13.  Return Receipt Postcard (MPEP 503)  
*(Should be specifically itemized)*
14.  Small Entity  Statement filed in prior application, Statement(s)  Status still proper and desired
15.  Certified Copy of Priority Document(s)  
*(if foreign priority is claimed)*
16.  Other: Copy of extension of time petition in parent application

17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

Continuation  Divisional  Continuation-in-part (CIP) of prior application No: 08 / 456,343

### 18. CORRESPONDENCE ADDRESS

Customer Number or Bar Code Label *(Insert Customer No. or Attach bar code label here)* or  Correspondence address below

NAME	Lisa K. Jorgenson SGS-Thomson Microelectronics, Inc.		
ADDRESS	1310 Electronics Drive M/S 2346		
CITY	Carrollton	STATE	Texas
COUNTRY	USA	TELEPHONE	(972) 466-7414
		ZIP CODE	75006-5039
		FAX	(972) 466-7044

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**FEE TRANSMITTAL**

Note: Effective October 1, 1997.  
Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 916)

*Complete if Known*

Application Number	
Filing Date	
First Named Inventor	Alex Kalnitsky
Group Art Unit	2503
Examiner Name	S. Meier
Attorney Docket Number	93-C-032C3

**METHOD OF PAYMENT** (check one)

1.  The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number  
Deposit Account Name

Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17     Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance

2.  Payment Enclosed:

Check     Money Order     Other

**FEE CALCULATION****1. FILING FEE**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101	790	201 395 Utility filing fee	790
106	330	206 165 Design filing fee	
107	540	207 270 Plant filing fee	
108	790	208 395 Reissue filing fee	
114	150	214 75 Provisional filing fee	
<b>SUBTOTAL (1) (\$)</b>			<b>790</b>

**2. CLAIMS**

Total Claims	Extra	Fee from below	Fee Paid
22	-20	= 2	X 22 = 44
Independent Claims	4	- 3	= 1 X 82 = 82
Multiple Dependent Claims			X 27.0 = 0

**Large Entity Small Entity**

Fee Code (\$)	Fee Code (\$)	Fee Description
103	22	203 11 Claims in excess of 20
102	82	202 41 Independent claims in excess of 3
104	270	204 135 Multiple dependent claim
109	82	209 41 Reissue independent claims over original patent
110	22	210 11 Reissue claims in excess of 20 and over original patent
<b>SUBTOTAL (2) (\$)</b>		

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105	130	205 65 Surcharge - late filing fee or oath	
127	50	227 25 Surcharge - late provisional filing fee or cover sheet.	
139	130	139 130 Non-English specification	
147	2,520	147 2,520 For filing a request for reexamination	
112	920*	112 920* Requesting publication of SIR prior to Examiner action	
113	1,840*	113 1,840* Requesting publication of SIR after Examiner action	
115	110	215 55 Extension for reply within first month	
116	400	216 200 Extension for reply within second month	
117	950	217 475 Extension for reply within third month	
118	1,510	218 755 Extension for reply within fourth month	
128	2,060	228 1,030 Extension for reply within fifth month	
119	310	219 155 Notice of Appeal	
120	310	220 155 Filing a brief in support of an appeal	
121	270	221 135 Request for oral hearing	
138	1,510	138 1,510 Petition to institute a public use proceeding	
140	110	240 55 Petition to revive - unavoidable	
141	1,320	241 660 Petition to revive - unintentional	
142	1,320	242 660 Utility issue fee (or reissue)	
143	450	243 225 Design issue fee	
144	670	244 335 Plant issue fee	
122	130	122 130 Petitions to the Commissioner	
123	50	123 50 Petitions related to provisional applications	
126	240	126 240 Submission of Information Disclosure Stmt	
581	40	581 40 Recording each patent assignment per property (times number of properties)	
146	790	246 395 Filing a submission after final rejection (37 CFR 1.129(a))	
149	790	249 395 For each additional invention to be examined (37 CFR 1.129(b))	

Other fee (specify) \_\_\_\_\_

Other fee (specify) \_\_\_\_\_

\* Reduced by Basic Filing Fee Paid

**SUBTOTAL (3) (\$)****SUBMITTED BY**

Typed or Printed Name

Richard A. Bachand

Complete (if applicable)

Reg. Number

25,107

Signature

Date 1/15/98

Deposit Account

User ID

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

FILE COPY

PATENT APPLICATION  
Atty. Docket No: 93-C-032C1  
Express Mail no: EM044796000US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:

Applicant: Alexander Kalnitsky et al. Group Art Unit: 2503

Application No. 08/456,343

Examiner: S. Meier

Filed: June 1, 1995

For: ENHANCED PLANARIZATION  
TECHNIQUE FOR AN INTEGRATED  
CIRCUIT

Assistant Commissioner for Patents  
Washington, D. C. 20231

01/15/98  
09/007668  
U.S.P.T.O.

CERTIFICATE OF MAILING

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited on the date shown below with the United States Postal Service in an envelope addressed to the Commissioner of Patents and Trademarks, Washington, DC 20231.

[ ] 37 CFR 1.8(a) as first class mail with sufficient postage

[XX] 37 CFR 1.10 "Express Mail Post Office to Addressee" Mailing Label No. EM044796000US

*Helen M. Schmidt* Helen M. Schmidt  
Signature Printed Name  
Date: *January 14, 1998* Date

REQUEST FOR EXTENSION OF TIME

Dear Sir:

This is a request for an extension of time to respond to the outstanding office action dated October 7, 1997. The extension of time and fee therefor is calculated as follows:

	Small Entity	Large Entity
<input checked="" type="checkbox"/> One month	\$ 55.00	\$ 110.00
<input type="checkbox"/> Two months	\$200.00	\$ 400.00
<input type="checkbox"/> Three months	\$475.00	\$ 950.00
<input type="checkbox"/> Four months	\$755.00	\$1510.00

A check in the amount of \$110.00 is enclosed.

Please charge any deficiency or credit any excess to deposit account number 08-2623.

Respectfully submitted,

*Richard A. Bachand*

Richard A. Bachand

Attorney for Assignee

Registration No. 25,107

Holland & Hart

P.O. Box 8749

Denver, Colorado 08201-8749

Tel: (719) 476-6463

FAX: (719) 634-2461

January 13, 1998

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: )  
Alexander Kalnitsky et al. ) Group Art Unit:  
)  
Serial No. ) Examiner:  
)  
Filed: HEREWITH )  
)  
For: ENHANCED PLANARIZATION )  
TECHNIQUE FOR AN INTEGRATED CIRCUIT

CERTIFICATE OF MAILING BY EXPRESS MAIL

Assistant Commissioner  
for Patents  
Washington, D.C. 20231

Sir:

The undersigned hereby certifies that the accompanying UTILITY  
PATENT APPLICATION TRANSMITTAL, FEE TRANSMITTAL, PRELIMINARY  
AMENDMENT, This Certificate of Mailing by Express Mail, and Return  
Card, all relating to the above application, were deposited as  
"Express Mail", Mailing Label No. EM044795993US, with the United  
States Postal Service, addressed to The Assistant Commissioner for  
Patents, Washington, D.C. 20231 on January 15, 1998

January 15, 1998  
Date

1/13/98  
Date

Helen M Schmidt  
Mailer

Richard A Bachand  
Richard A. Bachand  
Registration No. 25,107  
ATTORNEY FOR APPLICANT  
Holland & Hart LLP  
Post Office Box 8749  
555 Seventeenth Street, Suite 3200  
Denver, Colorado  
(303) 295-8563